

12-10-01

NON-PROVISIONAL
UTILITY PATENT APPLICATION
TRANSMITTAL - 37 CFR 1.53(b)

☐ Duplicate
(check, if applicable)

12/03/01
16796 U.S.
Assistant Commissioner for Patents
PATENT APPLICATION
Washington, DC 20231

Attorney Docket No. 040853-01-5029-02
First Named Inventor: Gotschlich
Express Mail Label No. EL231893649US
Total Pages of Transmittal Form: 2

Transmitted herewith for filing is the non-provisional utility patent application entitled:

Glycosyltransferases for Biosynthesis of Oligosaccharides and Genes Encoding Them

which is:

an ☐ Original; or

a ☒ Continuation, ☐ Divisional, or ☐ Continuation-in-part (CIP)

of prior Application No. 09/333,412 filed June 15, 1999.

Anticipated Group/Art Unit: 1652 or Class _____, Subclass _____.

☐ This non-provisional patent application is based on Provisional Patent Application No. _____, filed _____.

Enclosed are:

☒ Specification (including Abstract) and claims: 56 pages.

☐ Application Data Sheet.

☐ Newly executed/unexecuted Declaration (original/copy).

☒ Copy of Declaration from prior application.

☒ Revocation and Power of Attorney

☒ 18 sheets of drawings (formal) plus one copy.

☐ Microfiche computer program (Appendix).

☒ Nucleotide and/or Amino Acid Sequence Submission under 37 C.F.R. §§ 1.821-1.825, including:

☐ Computer readable copy ☒ Paper Copy ☒ Verified Statement.

It is requested that the Sequence Listing in computer readable form in prior application no. 08/312,387 filed September 26, 1994 be made a part of the present application as provided under 37 C.F.R. § 1.821(e). The sequences disclosed therein are the same as the sequences disclosed in this application. A paper copy of the Sequence Listing from application no. 08/312,387 filed September 26, 1994 is enclosed herewith (23 pages).

☐ Under PTO-1595 Cover Sheet, an assignment of the invention

☒ Name of Assignee: The Rockefeller University

☐ Certified copy(ies) of _____ Application No(s). _____ filed _____ is/are filed:

☐ herewith or ☐ in prior application.

☐ Applicant(s), by its/their undersigned attorney, claim(s) Small Entity Status under 37 C.F.R. § 1.27 as ☐ an Independent Inventor, or ☐ a Small Business Concern, or ☐ a Non-Profit Organization.

☒ Preliminary Amendment.

☒ Information Disclosure Statement and PTO-1449. Copies of cited references are not included with this submission, but can be found in the file wrapper for the prior application 09/333,412 filed June 15, 1999.

☐ Request for Nonpublication of Application Under 35 U.S.C. § 122(b)

☐ Other:

12/03/01
U.S. PTO
16796

The filing fee is calculated as follows:

| | | | SMALL ENTITY | | | LARGE ENTITY | |
|--|-----------|-----------|--------------|-----------|----|--------------|------------------|
| CLAIMS | NO. FILED | NO. EXTRA | BASIC FEE: | | | BASIC FEE: | |
| | | | \$370 | | | \$740 | |
| Total | 3-20 | 0 | X9 | \$ | OR | X18 | \$ |
| Independent | 3-3 | 0 | X42 | \$ | OR | X84 | \$ |
| <input type="checkbox"/> Multiple Dependent Claims Present | | | \$140 | \$ | OR | \$280 | \$ |
| | | | TOTAL | \$ | OR | TOTAL | \$ 740.00 |

☐ **The Commissioner is not authorized to charge the filing fee at this time as we elect to defer payment of the entire filing fee until receipt of a Notice to File Missing Parts.**

☒ A check in the amount of \$740.00 to cover the filing fee is enclosed.

☒ The Commissioner is hereby authorized to charge and/or credit **Deposit Account No. 50-0310 (Billing No. 040853-01-5000)** as noted below. A duplicate copy of this sheet is enclosed.

☒ Any overpayments or deficiencies in the above-calculated fee.

☐ Filing fee in the amount of \$_____ as calculated above.

☒ Any additional fees required under 37 C.F.R. § 1.16 and § 1.17.

☒ In the event that a Petition for Extension of Time is required during the prosecution of this application, but not submitted, please charge any _____ extension fee under 37 C.F.R. § 1.136(a) to our Deposit Account noted above.

CORRESPONDENCE ADDRESS:

Received 3/20/01
(Date)

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KD/TMS/mpa
Enclosures